

State of California, Secretary of State

Minutes of the CLAIMS User's Group Meeting

September 23, 1999

Secretary of State's Office, Sacramento, CA

In attendance were:

Steve Kawano, Information Technology Division
Caren Daniels-Meade, Political Reform Division
David Hulse, Political Reform Division
David Harris, Information Technology Division
Brian Gangler, Information Technology Division
John Keplinger, Political Reform Division
Wayne Cox, SAIC
Lisa Eichler, SAIC
Georgeen Newel, SAIC
Carla Wardlow, Fair Political Practices Commission
Virginia Crespo, League of Women Voters
Cynthia Bryant, Senator Johnson
Tony Miller, The Political Reform Reporter
Craig White, Aristotle
Joe Eustermann, Aristotle
John Krivacic, Booz-Allen & Hamilton
Susan Shepard, CPF
David Montgomery, Netfile
Parv Kang, CDP
Chacha Brown, CDP
Jerry Nottleson, Franchise Tax Board
Sunny Jung, Franchise Tax Board
Sheila Scally, Olson, Hagel et al
Diane Fishburn, Olson, Hagel Olson, Hagel et al.
Lap Tam, Olson, Hagel Olson, Hagel et al.
Belinda Grose, Olson Hagel Olson, Hagel et al.
Rick Ehrlinspiel, GoldenPoint
Mike Shulen, Data + Imagination

Distributed were a copy of the PowerPoint presentation of the slides (which are incorporated into these minutes.

Introductions

■ Campaign & Lobbyist Automated Information Management System (CLAIMS) Team Members

- ◆ Caren Daniels-Meade, Chief, Political Reform Division (PRD)
- ◆ David Hulse, Project Manager, Political Reform Division (PRD)
- ◆ Steve Kawano, Project Manager, Information Technology Division (ITD)
- ◆ Wayne Cox, Project Manager, Science Applications International Corporation (SAIC)
- ◆ David Harris, Internet Developer, Information Technology Division (ITD)
- ◆ Lisa Eichler, Internet Developer, Science Applications International Corporation (SAIC)
- ◆ Malcolm Cummings, (SDR)

Meeting Overview

Steve Kawano, Project Manager, Information Technology Division, presented the meeting overview:

■ Agenda

- ◆ Disclosure Queries
 - ◆ Common Queries
 - ◆ Campaign Queries
 - ◆ Lobbyist Queries
- ◆ X 12 Transaction Set 113 Status
 - ◆ IC Delivered
 - ◆ ICs In Progress
 - ◆ Comments
- ◆ CLAIMS Utilities
 - ◆ Caprint (win32)
 - ◆ Validator (win32)
 - ◆ HeaderGenr
 - ◆ Usage
- ◆ File Transfer Approach

Disclosure Queries

■ Common

- ◆ Filing History
- ◆ Fine History
- ◆ Active and Terminated

■ Campaign

- ◆ Campaign Information
- ◆ Contributions Received
- ◆ Expenditures Made

- Lobbyist
 - ◆ Lobbyist Directory
 - ◆ Bills/Measure being lobbied
 - ◆ Relationships between filers
 - ◆ Ethic Compliance
 - ◆ Campaign Activity
 - ◆ Payments in connection with lobbying activity
 - ◆ Lobbyist name

Common Queries

- Filing History
 - ◆ Record of all filings known to the system– (*will not have copies of actual filings*)
 - ◆ Campaign back to 1974
 - ◆ Lobbyist current and two previous sessions)
 - ◆ Allows user to display individual filings as PDF files (filings received beginning in January 2000)
 - ◆ Fine History
 - ◆ Shows a filer's fine history – (*payment/waiver history*)
 - ◆ Active and Terminated Count
 - ◆ Shows active and terminated filers numbers only

Campaign Queries

- Campaign Information
 - ◆ Treasurers across filings (*search method*)
 - ◆ Address filings (City, State, Zip Code, County Code, District Office)
 - ◆ Party affiliation - (*S/O*)
 - ◆ Acronym cross reference -
- Contributions Received
 - ◆ Top contributors
 - ◆ Ranking/threshold (by filer/across filings)
 - ◆ Contributions within a date range – (*monetary*)
 - ◆ Type of contribution – (*non-monetary*)
 - ◆ Contributor detail
 - ◆ Name, ID number, location, occupation, employer
 - ◆ Total by contributor
- Expenditure Made
 - ◆ By expenditure code
 - ◆ Contributions made
 - ◆ Independent expenditures
 - ◆ Non-monetary
 - ◆ Outstanding loans made
 - ◆ Loan repayments
 - ◆ Accrued expenditures

- ◆ Travel expenditures
- ◆ Expenditure by sub-vendor

Lobbyist Queries

- Lobbyist directory
 - ◆ Current functionality
 - ◆ Extended to meet requirements of recently passed legislation (*SB 1025*)
- Bills/measures being lobbied
 - ◆ By and across filings
 - ◆ Aggregate
- Campaign Activity
 - ◆ Contributions made by firms, employers and lobbyists
- Relationships between filers
 - ◆ Firm to client
 - ◆ Employer to firm
 - ◆ Employer to lobbyist
 - ◆ Firm to lobbyist
 - ◆ Firm to firm (sub-contract)
 - ◆ Firm or employer to campaign identity
- Lobbyist name
 - ◆ Lobbyist connected to employer or firm
- Ethic Compliance
 - ◆ Ethics course date reported by lobbyist – (*report from Form 604*)
 - ◆ Date verified by Senate Ethics Commission (under evaluation)
- Payments in connection with lobbying activity
 - ◆ Employer “other payments to influence”
 - ◆ Employer and firm payments to lobbying activity
 - ◆ Lobbyist activity expenses by lobbyist

X 12 Transaction Set 113 Status

- ICs Delivered
 - ◆ 401/498
 - ◆ 460/497/495/490 Schedule A-1
- ICs in Progress
 - ◆ 450/495 – due mid October – (*will be posted on web-site*)
 - ◆ Remainder due by early December
- No comments received to date

CLAIMS Utilities

- Caprint (win32)
 - ◆ Utility that displays/prints “cal” files – (*shows how they will be displayed*)
 - ◆ Can be called and used by filing software
 - ◆ Have an early alpha release available for testing “cal” files
- Validator (win32)
 - ◆ Utility that accomplishes same checks performed on the filing before it is loaded into the database
 - ◆ Can be used to check “cal” files for testing or as part of the filing software prior to filing (alpha available in 2-3 weeks)
- HeaderGenr
 - ◆ No longer needed
 - ◆ Headers simplified
- Use of any of these utilities is the vendor’s option

File Transfer Approach

- Looking at two approaches for CAL Transfers
 - ◆ SSL similar to what was used in EFPOC
 - ◆ SDR method used at FEC and other venues
- Evaluating X12 file transfer option provided using the GENTRAN Translator
- Initial CAL test utility using PGP encrypted transfer
- Issues
 - ◆ Security
 - ◆ Ability to automate the interface
 - ◆ Ease of integration by the filing software vendors
 - ◆ Management of passwords

Build two contains the disclosure queries; search engines; file transfer approach and certification process. Malcolm Cummings of SDR provided hand-outs of the system queries as well as the California File .CAL Layout.

Discussion of changes included one regarding the header at the beginning of the electronic filing being deleted, once removed, HDR record will remain.

It appears that Statecraft and Directfile are the only ones who have previously indicated they intend to use X12.

If vendors would like to have an early alpha release for testing “CAL” files, we will e-mail it to them.

Feedback

Discussion coordinated by Steve Kawano, Wayne Cox and David Hulse

At this point, the forum was opened for any discussion of related issues and the following items were discussed:

Vendors are concerned about the security and management of passwords, ensuring only authorized agents can transmit, as they do not want to be responsible for maintaining passwords or log-on's for their individual clients etc.

The Certification process will be done in four stages as required by SB 49.

- ◆ Self test with Secretary of State provided utilities.
- ◆ Self test over Internet with vendor data.
- ◆ Self test over Internet with Secretary of State data (sample our filings)
- ◆ Certification test with Secretary of State data

Will try to develop a CAL file to validate phase two, and will certify software providers by form. Begin testing with registration documents and Form 460 in two to three weeks to open up test servers to vendors.

Hope to complete certification process by the first week in December to assure filers that there are viable vendors software packages available.

Anticipate queries early January with final release in February to cover all form sets.

Caren Daniels-Meade (Political Reform Division) and Carla Wardlow (Fair Political Practices Commission) will develop a letter to direct the public to the Secretary of State website sometime within the next two weeks. Also, both will participate in the development of a bulletin alerting the filers to their upcoming electronic filing obligations; within the next two weeks, this will be mailed as well as e-mailed to the User's Group.

Next User's Group meeting scheduled for October 14, 1999 from 10:00 a.m., to 12:00 p.m., in the Secretary of State's Office Multi-Purpose Room.

Contacts

- ◆ David Hulse, PRD Project Manager
dhulse@ss.ca.gov
(916) 653-7043
FAX (916) 653-5045
- ◆ Steve Kawano, IT Project Manager
skawano@ss.ca.gov
(916) 653-2744

Meeting adjourned 12:00 p.m.

Respectfully submitted,

Joyce Geerling
Executive Assistant, Political Reform Division